

08/07/01

08-09-01

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|---|--|---|----------------|
| UTILITY PATENT APPLICATION TRANSMITTAL <small>Only for nonprovisional applications under 37 CFR § 1.53(b)</small> | Attorney Docket No. | 500176.03 | August 7, 2001 |
| | First Inventor or Application Identifier | Paul D. Shirley | |
| | Title | METHOD AND APPARATUS FOR CONTROLLING A TEMPERATURE OF A MICROELECTRONIC SUBSTRATE | |
| | Express Mail Label No. | EL673946405US | |

| APPLICATION ELEMENTS <small>See MPEP chapter 600 concerning utility patent application contents.</small> | | ADDRESS TO: Box Patent Application Commissioner of Patents Washington, D.C. 20231 | |
|--|--|--|--|
| 1. <input checked="" type="checkbox"/> Fee Transmittal Sheet (+ copy) <small>(Submit an original and a duplicate for fee processing)</small> | | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) | |
| 2. <input type="checkbox"/> Applicant(s) Claim(s) Small Entity Status | | 8. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission <small>(if applicable, all necessary)</small> | |
| 3. <input checked="" type="checkbox"/> Specification [Total Pages] 25 <small>(preferred arrangement set forth below)</small> | | a. <input type="checkbox"/> Computer-Readable Form (CRF) | |
| - Descriptive Title of the Invention | | b. <input type="checkbox"/> Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper | |
| - Cross References to Related Applications | | c. <input type="checkbox"/> Statement verifying identity of above copies | |
| - Statement Regarding Fed sponsored R & D | | ACCOMPANYING APPLICATION PARTS | |
| - Reference to Microfiche Appendix | | 9. <input type="checkbox"/> Certification Under 35 U.S.C. 122(b)(2)(B)(i) | |
| - Background of the Invention | | 10. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) | |
| - Brief Summary of the Invention | | 11. <input checked="" type="checkbox"/> 37 CFR 3.73(b) Statement <input checked="" type="checkbox"/> Power of Attorney <small>(when there is an assignee)</small> | |
| - Brief Description of the Drawings (if filed) | | 12. <input type="checkbox"/> English Translation Document (if applicable) | |
| - Detailed Description | | 13. <input checked="" type="checkbox"/> Preliminary Amendment Total Pages 2 | |
| - Claim(s) | | 14. <input checked="" type="checkbox"/> Return Receipt Postcard | |
| - Abstract of the Disclosure | | 15. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations | |
| 4. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113) [Total Sheets] 3 | | 16. <input type="checkbox"/> Certified Copy of Priority Document(s) <small>(if foreign priority is claimed)</small> | |
| 5. <input checked="" type="checkbox"/> Oath or Declaration [Total Pages] 1 | | 17. <input checked="" type="checkbox"/> Other: <u>Certificate of Express Mail</u> <u>Check</u> <u>Copy of Revocation & Subst. POA</u> | |
| a. <input type="checkbox"/> Newly executed (original or copy) | | | |
| b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <small>(for continuation/divisional with Box 18 completed)</small> | | | |
| i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b) | | | |
| 6. <input checked="" type="checkbox"/> Application Data Sheet (37 C.F.R. 1.76) | | | |

18. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information below and in a preliminary amendment

☒ Continuation ☐ Divisional ☐ Continuation-In-Part (CIP) of prior Application No : 09/328,042 Filed June 8, 1999

Prior application information: Examiner R. Zervigon Group / Art Unit 1763

☒ **Incorporation By Reference** (useable if box 5b is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

CORRESPONDENCE ADDRESS

Dale C. Barr, Esq.
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(206) 903-8800 phone
(206) 903-8820 fax

Customer No. 27,076

TYPED or PRINTED NAME Dale C. BarrREGISTRATION NO. 40,498SIGNATURE Dale C. BarrDate August 7, 2001

FEE TRANSMITTAL SHEET (FOR FY 2001)

Complete if Known

| | |
|----------------------|-----------------------|
| Express Mail No. | EL673946405US |
| Filing Date | Concurrently Herewith |
| First Named Inventor | Paul D. Shirley |
| Group Art Unit | Not Yet Assigned |
| Examiner | Not Yet Assigned |
| Atty. Docket Number | 500176.03 |

METHOD OF PAYMENT (Check One)

FEE CALCULATION (Continued)

1. ☒ The Commissioner is hereby authorized to charge any additional fee required under 37 C.F.R. §§ 1.16 and 1.17 and 1.136(a)(3) and credit any over payments to Deposit Account No.: 50-1266; Deposit Account Name: DORSEY & WHITNEY LLP

2. ☒ Check Enclosed

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | | Small Entity | | Fee Description |
|--------------|----------|--------------|----------|--|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | |
| 101 | 710 | 201 | 355 | <input checked="" type="checkbox"/> Utility Filing Fee |
| 106 | 320 | 206 | 160 | <input type="checkbox"/> Design Filing Fee |
| 108 | 710 | 208 | 355 | <input type="checkbox"/> Reissue Filing Fee |
| 114 | 150 | 214 | 75 | <input type="checkbox"/> Provisional Filing Fee |

Subtotal (1) \$ 710

2. EXTRA CLAIM FEES

| Current Claims | Prior | Extra | Fee | Fee Paid |
|---------------------------|-------|-------|--------------|----------|
| Total | 41 | - 20 | = 21 x \$ 18 | = \$ 378 |
| Ind. | 4 | - 3 | = 1 x \$ 80 | = \$ 80 |
| Multiple Dependent Claims | | | x \$ | = \$ |

Subtotal (2) \$ 458

| Large Entity | | Small Entity | | Fee Description |
|--------------|----------|--------------|----------|---|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | |
| 103 | 18 | 203 | 9 | Claims in excess of 20 |
| 102 | 80 | 202 | 40 | Independent claims in excess of 3 |
| 104 | 270 | 204 | 135 | Multiple dependent Claim |
| 109 | 80 | 209 | 40 | Reissue independent claims over original patent |
| 110 | 18 | 210 | 9 | Reissue claims in excess of 20 and over original patent |

3. ADDITIONAL FEES

| Large Entity | | Small Entity | | Fee Description | Fee paid |
|--------------|----------|--------------|----------|--|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 105 | 130 | 205 | 65 | Surcharge - Late filing fee or oath | \$ |
| 127 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet | \$ |
| 139 | 130 | 139 | 130 | Non-English specification | \$ |
| 147 | 2,520 | 147 | 2,520 | For Filing a Request for Reexamination | \$ |
| 115 | 110 | 215 | 55 | Extension for reply within first month | \$ |
| 116 | 390 | 216 | 195 | Extension for reply within 2 nd month | \$ |
| 117 | 890 | 217 | 445 | Extension for reply within 3 rd month | \$ |
| 118 | 1,390 | 218 | 695 | Extension for reply within 4 th month | \$ |
| 128 | 1,890 | 280 | 945 | Extension for reply within 5 th month | \$ |
| 120 | 310 | 220 | 155 | Filing a brief in support of an appeal | \$ |
| 121 | 260 | 270 | 135 | Request for oral hearing | \$ |
| 148 | 110 | 248 | 55 | Terminal Disclaimer Fee | \$ |
| 140 | 10 | 240 | 55 | Petition to revive - unavoidable | \$ |
| 141 | 1,240 | 241 | 620 | Petition to revive - unintentional | \$ |
| 142 | 1,240 | 242 | 620 | Utility/Reissue issue fee (+ advance copies) | \$ |
| 143 | 440 | 243 | 220 | Design issue fee (+ advance copies) | \$ |
| 122 | 130 | 122 | 130 | Petitions to the Commissioner | \$ |
| 123 | 50 | 123 | 50 | Petitions related to provisional applications | \$ |
| 126 | 180 | 126 | 180 | Submission of IDS | \$ |
| 581 | 40 | 81 | 40 | Recording each patent assignment per property (times number of properties) | \$ |
| 179 | 710 | 279 | 355 | Request for Continued Examination (RCE) | \$ |

Other fee (specify)

Subtotal (3) \$ -0-

Total Amount of Payment: \$1,168

Submitted by:

Name: Dale C. Barr

Reg. No.: 40,498

Telephone: (206) 903-8800

Signature: 

Date: August 7, 2001

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Paul D. Shirley
Filed : Concurrently Herewith
Title : METHOD AND APPARATUS FOR CONTROLLING A TEMPERATURE OF A
MICROELECTRONIC SUBSTRATE

Attorney Docket No.: 500176.03

GENERAL AUTHORIZATION

Box Patent Application
Commissioner of Patents
Washington, D.C. 20231

Sir:

With respect to the above-identified application, the Commissioner is authorized to charge any fees under 37 C.F.R. §§ 1.16 and 1.17 which may be required and to treat any concurrent or future reply requiring a petition for an extension of time under 37 C.F.R. § 1.136(a)(3) for its timely submission as incorporating a petition therefor for the appropriate length of time and to charge any fees which may be required during the course of prosecution, or credit any overpayment, to Deposit Account No. 50-1266.

Date

August 7, 2001

Dale C. Barr
Dale C. Barr

Registration No. 40,498

DCB/ln

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Paul D. Shirley Attorney Docket No.: 500176.03
Filed : August 7, 2001
Title : METHOD AND APPARATUS FOR CONTROLLING A TEMPERATURE OF A
MICROELECTRONIC SUBSTRATE

CERTIFICATE OF MAILING BY "EXPRESS MAIL"


Box Patent Application
Commissioner of Patents
Washington, D.C. 20231

Sir:

I hereby certify that the enclosures listed below are being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 C.F.R. § 1.10, Mailing Label Certificate No. EL673946405US, on August 7, 2001, addressed to Box Patent Application, Commissioner of Patents, Washington, DC 20231.

Respectfully submitted,

DORSEY & WHITNEY LLP


/ for West Courier

DCB/lm

Enclosures:

Postcard
Check
PTO/SB/05 Utility Patent Application Transmittal
Application Data Sheet
Fee Transmittal Sheet (+ copy)
General Authorization
Preliminary Amendment
Copy of Specification, Claims, Abstract (25 pages)
Copies of 3 Sheets of Drawings (Figures 1-4)
Copy of Declaration
Copy of Election and Power of Attorney
Copy of Revocation and Substitute Power of Attorney
Information Disclosure Statement and Form PTO-1449